



UNIVERSITY OF
LEICESTER

Records Management Policy

Estates and Campus Services Retention Schedule

Records Management Policy

Version Control and Approval

Version Number	Comments	Author	Date
V1.00	First stand-alone version; revised based on data mapping exercise	David Jenkins (Records Manager); Anne Harvey (Associate Director)	July 2020

Version Number	Approved by	Date
V1.00	Michael Flanagan (Director, Estates and Campus Services)	July 2020

Implementation Guidance

Principles to follow

- It is good practice to proactively dispose of records on a regular basis (at least once a year if not more frequently). This helps make the process more manageable by keeping the quantity of records in your systems/storage locations to a manageable volume. If no proactive disposal takes place then it can make carrying out a review of records complex and time consuming (typically coinciding with the need to move offices or cleanse data from a system).
- Disposal actions need to be carried out when records are no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed). Retention periods will start to apply once a 'trigger' has been reached. For student data this will generally be the end of their studies. It is very rare for retention periods to start from the creation of a record.
- Retention rules apply to all information regardless of its format. This means that the same retention periods should apply to paper records as well as electronic records. The only exception to this might be when data has been extracted from a paper record and input into a system (i.e. transcribing information into a database and then regarding the information in this database as 'the record'). In cases where information has been transcribed it is usually beneficial to retain the paper original for a short period of time in case of any data quality concerns over the transcribed data.
- In order to make the proactive disposal of information easier it is good practice to store information in a way that supports the eventual disposal process. Examples might include arranging folders on the X:Drive by academic year so that a retention rule can be applied at the end of year. Similarly it is best practice to avoid large spreadsheets or database that include all of a School/Department's students over multiple cohorts as this can make the eventual disposal complex and time consuming, in these cases it is best practice to have a single spreadsheet/database based on a cohort year.
- The University Archives are the corporate memory of the University. Information transferred to the archive, in paper or digital form, is preserved permanently for staff, students, alumni and non-members of the University community to research within (subject to Information legislation). The Archives and Special Collections pages on the Library website tell you more about what we want to collect and how to transfer records, or you can [email the team](#) with any questions.



UNIVERSITY OF
LEICESTER

Records Management Policy

Where to go for more information

- For information on student data held locally please contact the relevant school or departmental Operations Manager in the first instance.
- For any queries about retention periods that are not covered by this retention schedule or records management in general please contact [Records Management](#).

Contents

1. Accommodation and residential services	6
2. Plant and equipment maintenance	6
3. Estates and property management	7
4. Property maintenance	8
5. Property development	8
6. Security and access	9
7. Environmental	10
8. Waste management	10
9. Facilities management	10
10. Print services	11

Records Management Policy

1. Accommodation and residential services

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.01	The process of allocating student accommodation	Allocation and occupancy lists; Self-assessment form	Created + 2 years	Business requirement	Estates and Campus Services
1.02	Fees and charges information. Includes deposit details, invoices, swap forms etc.	Deposit details; Invoices; Swap forms	Created + 6 years	Business requirement	Estates and Campus Services
1.03	Records generated on students in university accommodation	Student File; Complaints Files	Completion of studies + 1 year	Business requirement	Estates and Campus Services

2. Plant and equipment maintenance

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.01	Testing, maintaining and inspecting plans and equipment	Certificates; Repair Reports; Maintenance log	6 years from end of life of plant/equipment	Limitation Act 1980	Estates and Campus Services
2.02	Documenting the design, operation and maintenance of buildings	Operations and Maintenance Manuals (O+M) CDM Manual	Retain for life of the building – dispose of 10 years from disposal of building (destroy or transfer to new owner)	The Construction (Design and Management) Regulations 2015	Estates and Campus Services

Records Management Policy

3. Estates and property management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.01	The process of acquiring property	Property acquisition and supporting documentation	Disposal of property + 12 years	Limitation Act 1980	Estates and Campus Services
3.02	Negotiations for properties (where property is not acquired)	Correspondence	Closure of negotiations + 6 years	Limitation Act 1980	Estates and Campus Services
3.03	Title deeds	Deeds	Permanent. Offer to Archivist (if relating to a demolished building)	Limitation Act 1980	Estates and Campus Services
3.04	Managing leased property	Leases; Negotiation of leases	15 years from expiry of lease	Limitation Act 1980	Estates and Campus Services
3.05	Mortgage deeds	Deeds	12 years from disposal of property	Limitation Act 1980	Estates and Campus Services
3.06	Disposal of property by sale, transfer or donation	Correspondence	Disposal of property + 12 years	Limitation Act 1980	Estates and Campus Services
3.07	Proactively managing space in university buildings	Space audits	Completion of subsequent audit + 5 years	Business requirement	Estates and Campus Services
3.08	Inspective university buildings	Inspection reports	5 years	Business requirement	Estates and Campus Services

Records Management Policy

4. Property maintenance

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
4.01	Property maintenance works, including refurbishments	Job details	Retain for life of building	Business requirement	Stored in MICAD. Paper records do not need to be retained
4.02	Permits to work on roofs, hot works, dangerous areas etc, for contractors and craftsmen	Permits to Work	Retain for life of building	Guidance on permit-to-work Systems (Health and Safety Executive)	Stored in MICAD. Paper records do not need to be retained

5. Property development

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
5.01	Preparing and responding to planning applications	Planning application supporting documentation	Permanent Preservation offer to Archivist	Business requirement	Estates and Campus Services
5.02	The process of carrying out major works to buildings	Major works building drawings; photographs and other architectural related media	Permanent Preservation offer to Archivist	Business requirement	Estates and Campus Services

Records Management Policy

6. Security and access

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.01	Allowing access to university buildings and offices	Access logs	2 years	JISC recommendation	Stored in Maxxess/ SALTO
6.02	Managing safety and security on university premises	Safety and Security incident records ; Event data	5 years	Business requirement	Estates and Campus Services
6.03	University safety/security - CCTV System – where no further action is taken	CCTV Images	30 days	Business requirement	Estates and Campus Services
6.04	University safety/security - CCTV System – where there is a suspicion of a criminal offence	CCTV Images	1 year	Business requirement	Estates and Campus Services
6.05	University safety/security - CCTV System – where it results in disciplinary proceedings against a member of staff	CCTV Images	2 years	Business requirement	Estates and Campus Services
6.06	University safety/security - CCTV System – where it results in disciplinary proceedings against a student	CCTV Images	For the duration of studies or for 3 years whichever is greater	Business requirement	Estates and Campus Services
6.07	University safety/security - CCTV System – where an accident/injury has occurred	CCTV Images	3 years	Business requirement	Estates and Campus Services
6.08	University safety/security - Telephone and Barrier Recordings	Telephone recordings	6 months	Business requirement	Estates and Campus Services
6.09	Managing University parking	Parking Permits	3 years	Business requirement	Stored in ParkIt
6.10	Tracking the use of keys	Staff details for Traka Cabinets	1 year from expiry of access	Business requirement	Estates and Campus Services
6.11	Logging visitors to university properties	Visitor logs; Access logs	2 years	Business requirement	Estates and Campus Services



Records Management Policy

7. Environmental

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
7.01	Routine monitoring and reviewing of University energy use and environmental compliance	Formal reviews; Action plans; Best practice documents	Academic year created + 5 years	Business requirement	Estates and Campus Services
7.02	Carrying out formal environmental audits	Audits	Permanent. Offer to Archivist	Business requirement	Estates and Campus Services

8. Waste management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
8.01	The process of managing and disposing of waste.	Shredding requests; Waste collection requests; Waste transfer notes; Consignment notes; Quarterly returns	3 years	Hazardous Waste (England and Wales) Regulations 2005	Estates and Campus Services

9. Facilities management

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
9.01	Administering cleaning of buildings	Rotas	3 months	Business requirement	Estates and Campus Services



Records Management Policy

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
9.02	Arranging conference/residential accommodation	Guest booking information	6 years from transaction	Business requirement Immigration (Hotel Records) Order 1972	Stored in Kinetics
9.03	Arranging university catering	Catering information	6 years from transaction	Business requirement	Stored in Catering Delivery Database

10. Print services

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
10.1	Managing the transactions associated with print jobs	Print Jobs	6 years from transaction	The Limitations Act 1980	Stored in Shuttleworth
10.2	Holding original images for future print jobs	Proofs for printing	Indefinitely	Business requirement	Estates and Campus Services